

I.S.S.U.E.® INC.
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Client Behavioral Finance Questionnaire

Client Name: _____

Date: _____

Q1. You shouldn't tell others how much money you have.

- ____ Strongly Disagree
- ____ Moderately Disagree
- ____ Neither Agree or Disagree
- ____ Moderately Agree
- ____ Strongly Agree

Q2. When it comes to my finances, I don't sweat the small stuff.

- ____ Strongly Disagree
- ____ Moderately Disagree
- ____ Neither Agree or Disagree
- ____ Moderately Agree
- ____ Strongly Agree

Q3. Poor people are undisciplined.

- ____ Strongly Disagree
- ____ Moderately Disagree
- ____ Neither Agree or Disagree
- ____ Moderately Agree
- ____ Strongly Agree

Q4. Money provides security.

- ____ Strongly Disagree
- ____ Moderately Disagree
- ____ Neither Agree or Disagree
- ____ Moderately Agree
- ____ Strongly Agree

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Q5. People will want to take advantage of you if they find out you are wealthy.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q6. People are essentially honest.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q7. The smarter you are, the more money you will make.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q8. It's important to diligently keep track of all income and expenditures.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q9. If I see a dime on the sidewalk, I'll stop to pick it up.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q10. Sometimes I trade stocks for fun.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q11. I often worry about how much things cost.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q12. I am concerned about others' financial well-being.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q13. I am not interested in theoretical discussions about my financial future.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q14. I am disciplined with my spending.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q15. I like to talk to acquaintances about my investments.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q16. I am not bothered by fluctuations in the market values of my assets.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q17. I believe people are essentially generous.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q18. I enjoy thinking about my investments.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q19. I understand just enough about my finances to get by.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q20. I enjoy owning big-name stocks.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q21. I am relaxed about investing even when the markets are down.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q22. I get back at people who rip me off.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q23. I have difficulty understanding abstract financial concepts.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q24. I invest my money according to a plan – for example, in fixed percentages of different assets.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q25. I avoid following the crowd in my investing.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q26. I never read the business section of the newspaper.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q27. I try to keep track of economic trends.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q28. I accurately plan my expenses.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

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Q29. I like to prepare for the future.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q30. I feel very excited by the possibility of large investment gains.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q31. I never feel inclined to follow "hot" stock tips.

- Strongly Disagree
- Moderately Disagree
- Neither Agree or Disagree
- Moderately Agree
- Strongly Agree

Q32. If you had to choose, you would prefer to:

- Spend more on lifestyle now and have less savings in retirement.
- Spend less on lifestyle now and have more savings in retirement.

Q33. Is your answer to the previous question reflective of how you are actually spending and saving?

- Yes
- No

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Q34. Have financial setbacks from the following events significantly affected you or your parents (please check all that apply)?

Me	Parents	Neither	Both	
_____	_____	_____	_____	Great Depression
_____	_____	_____	_____	Unemployment
_____	_____	_____	_____	Business Failure
_____	_____	_____	_____	Bank Failure
_____	_____	_____	_____	Childhood poverty
_____	_____	_____	_____	Immigration or refugee status
_____	_____	_____	_____	Bear market
_____	_____	_____	_____	Debt Accumulation
_____	_____	_____	_____	War
_____	_____	_____	_____	Crime or fraud
_____	_____	_____	_____	Divorce
_____	_____	_____	_____	Accident, illness or death
_____	_____	_____	_____	Addictions
_____	_____	_____	_____	Natural disaster
_____	_____	_____	_____	Other or Explanation:

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Q35. If you checked items on 34, please briefly explain how those experiences have changed you. How have your financial values been shaped by these setbacks?

Q36. How concerned are you that you will not have enough money at the end of your life?
Extremely

- Very
- Moderately
- Mildly
- Not at all

Q37. In which of the following domains do you have unfulfilled life goals and dreams?

- Travel
- Education
- Family
- Spirituality / Religion
- Financial
- None

Q38. Do you feel that you have sufficient assets to accomplish your goals and realize your dreams?

- Need or would like additional income
- Have sufficient assets

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Q39. What are your most valued activities during leisure (or retirement) time? Please select up to four.

Recreation (athletics and entertainment)

Travel

Education

Hobbies

Community service

Continue to work

Managing my assets

Family

Religious service

Just sitting back and relaxing

Q40. As of today, what are your financial priorities after retirement? (Please rank from 1 to 3, where 1= most important).

Legacy – Charitable giving or Wealth transfer to relatives.

Lifestyle – Spending on homes, recreation, travel, education, memberships, healthcare, and luxuries.

Thrift - Ensuring I have enough to last until the end of my life.

Q41. What traditions and values in your family or community are important and should be carried on?

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Q42. How would you like to be remembered by later generations?

Q43. Do you believe that the amount of money you have impacts your level of happiness and how?

Additional Comments or Concerns:
